

# EXHIBIT D

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APR. 13. 2004 5:21PM

HOWREY SIMON ARNOLD

NO. 0231 P. 46



**UNITED STATES DEPARTMENT OF COMMERCE**

**United States Patent and Trademark Office**

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
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HM22/3405

EXAMINER

EPPL 7

ART UNIT

PAPER NUMBER

1635

DATE MAILED: 04/15/04

**Please find below and/or attached an Office communication concerning this application or proceeding.**

**Commissioner of Patents and Trademarks**

<b>Advisory Action</b>	Application No. _____	Applicant(s) _____	
	09/093,972	NYCE, JONATHAN W.	
	Examiner	Art Unit	
	Janet L Epps	1635	

**-The MAILING DATE of this communication appears on the cover sheet with the correspondence address -**

THE REPLY FILED 28 March 2001 FAILS TO PLACE THIS APPLICATION IN CONDITION FOR ALLOWANCE. Therefore, further action by the applicant is required to avoid abandonment of this application. A proper reply to a final rejection under 37 CFR 1.113 may only be either: (1) a timely filed amendment which places the application in condition for allowance; (2) a timely filed Notice of Appeal (with appeal fee); or (3) a timely filed Request for Continued Examination (RCE) in compliance with 37 CFR 1.114.

**PERIOD FOR REPLY [check only a) or b)]**

- a) ☒ The period for reply expires 6 months from the mailing date of the final rejection.
- b) ☐ In view of the early submission of the proposed reply (within two months as set forth in MPEP § 706.07 (f)), the period for reply expires on the mailing date of this Advisory Action, OR continues to run from the mailing date of the final rejection, whichever is later. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of the final rejection.

Extensions of time may be obtained under 37 CFR 1.136(a). The date on which the petition under 37 CFR 1.136(a) and the appropriate extension fee have been filed is the date for purposes of determining the period of extension and the corresponding amount of the fee. The appropriate extension fee under 37 CFR 1.17(a) is calculated from: (1) the expiration date of the shortened statutory period for reply originally set in the final Office action; or (2) as set forth in (b) above, if checked. Any reply received by the Office later than three months after the mailing date of the final rejection, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

1. ☐ A Notice of Appeal was filed on \_\_\_\_\_. Appellant's Brief must be filed within the period set forth in 37 CFR 1.192(a), or any extension thereof (37CFR 1.191(d)), to avoid dismissal of the appeal.
2. ☐ The proposed amendment(s) will be entered upon the timely submission of a Notice of Appeal and Appeal Brief with requisite fees.
3. ☒ The proposed amendment(s) will not be entered because:
- (a) ☐ they raise new issues that would require further consideration and/or search. (see NOTE below);
  - (b) ☒ they raise the issue of new matter. (see Note below);
  - (c) ☒ they are not deemed to place the application in better form for appeal by materially reducing or simplifying the issues for appeal; and/or
  - (d) ☐ they present additional claims without canceling a corresponding number of finally rejected claims.

NOTE: See Continuation Sheet.

4. ☐ Applicant's reply has overcome the following rejection(s): \_\_\_\_\_.
5. ☐ Newly proposed or amended claim(s) \_\_\_\_\_ would be allowable if submitted in a separate, timely filed amendment canceling the non-allowable claim(s).
6. ☐ The a) ☐ affidavit, b) ☐ exhibit, or c) ☐ request for reconsideration has been considered but does NOT place the application in condition for allowance because: \_\_\_\_\_.
7. ☐ The affidavit or exhibit will NOT be considered because it is not directed SOLELY to issues which were newly raised by the Examiner in the final rejection.
8. ☒ For purposes of Appeal, the status of the claim(s) is as follows (see attached written explanation, if any):
- Claim(s) allowed: 108-124, 126-130, 133-175, 178-181, 183-190, 192-198, 200-218 and 221-228.
- Claim(s) objected to: \_\_\_\_\_.
- Claim(s) rejected: 125, 131, 191, 219, 220 and 229-231.
- Claim(s) withdrawn from consideration: \_\_\_\_\_.
9. ☐ The proposed drawing correction filed on \_\_\_\_\_ a) ☐ has b) ☐ has not been approved by the Examiner.
10. ☐ Note the attached Information Disclosure Statement(s) (PTO-1449) Paper No(s). \_\_\_\_\_.
11. ☐ Other: \_\_\_\_\_.

Continuation of 3. NOTE: The amendment filed 4-18-01 will not be entered since it does not comply with 37 CFR § 1.121. Specifically claim 130, line 16 recites the term "neutral lipid", in the advisory action mailed 3-26-01 that neutral lipids were not described in the original specification as a surfactant. Additionally, the clean copy of this amendment does not include this term. Furthermore, claims 119, 120, and 211 recite underlining or bracketing, however these claims are not marked as amended. Additionally, Applicants were previously informed that the claims should not recite a particle size of 0.05u. Claim 225, line 4, recites a particle size of 0.05u. Furthermore, this amendment directs the deletion of a paragraph on page 11 after line 3, it appears that Applicants are attempting to amend the Substitute Specification filed 5-11-00 which was not entered into the file. The paragraph that Applicants are referring to is not found on page 11 of the original specification.



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